



**SUBJECT:** USAID/DCHA/OFA Annual Program Statement (APS) No. APS-OFDA-11-000004 to Support Programmatic Learning for Prevention of, and Response to, Gender-Based Violence in Disaster Situations

**ISSUANCE DATE:** March 7, 2011

## **A. AUTHORITY AND INTRODUCTION**

Pursuant to the Foreign Assistance Act of 1961, as amended (FAA), the United States Government (USG), as represented by the U.S. Agency for International Development (USAID), Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA), Office of U.S. Foreign Disaster Assistance (OFDA) is seeking to support or stimulate the activities described in this Annual Program Statement (APS).

Section 491 of the FAA authorizes USG assistance for natural and human-caused disasters abroad, as well as Prevention, Mitigation, and Preparedness (PMP) activities designed to reduce the impact of recurrent natural hazards and foreign disasters.

Pursuant to Section 493 of the FAA, the USAID Administrator has been appointed as the President's Special Coordinator for International Disaster Assistance, with responsibility to promote maximum effectiveness and coordination by USG agencies and between the U.S. and other donors in responses to foreign disasters. OFDA provides technical support to the President's Special Coordinator for International Disaster Assistance and coordinates the U.S. Government response to disasters in foreign countries. OFDA is the primary operating unit within USAID for the provision of international disaster assistance, except for (1) emergency food aid, where USAID's Office of Food for Peace (DCHA/FFP) is considered the primary operating unit, and (2) cases where a determination is made that a country is in transition to democracy and USAID's Office of Transition Initiatives (DCHA/OTI) is designated as the primary operating unit. To this end, the OFDA Director is responsible for planning, developing, implementing, monitoring, and evaluating assistance for international disaster relief and PMP activities.

OFDA responds to all types of foreign natural disasters, including earthquakes, volcanic eruptions, cyclones, floods, droughts, fires, pest infestations, and disease outbreaks. OFDA also provides assistance when lives or livelihoods are threatened by catastrophes, such as civil conflict, acts of terrorism, or industrial accidents. Disasters cause loss of life or injury, damage to private or public infrastructure, and interruption of livelihoods. Foreign disasters comprise both acts of nature and

acts of humankind that disrupt economic and social life. USAID defines a foreign disaster as one which occurs outside the United States, its territories, or possessions, and may be:

- A violent act of nature, such as a flood, tsunami, hurricane, fire, earthquake, volcanic eruption, landslide, etc.;
- Secondary disasters such as floods, landslides, fires, or civil disturbances that may be triggered by rapid-onset disasters such as earthquakes or hurricanes;
- A human-caused act, such as civil strife, border conflict, displacement of large numbers of people, explosion, fire, chemical spill, or radiological release;
- A complex emergency, usually of long-term duration, that includes a combination of humanitarian, political, and military dimensions which hinder the provision of external relief;
- A slowly developing catastrophe caused by nature, humankind's neglect, or both, such as drought, famine, or epidemic; or
- A potential calamity, including ecological threats menacing lives and property and requiring prevention or monitoring measures.

OFDA not only responds to disasters but also works with disaster-prone countries to prevent, mitigate, and prepare for the effects of potential disaster scenarios. This includes assistance relating to disaster preparedness, and to risk reduction activities, to lessen adverse impacts of, and enhance the prediction of and contingency planning for, natural disasters abroad. Disaster planning and preparedness identifies the hazards present in a country or region; the vulnerability of people and infrastructure; and the resources available for relief, rehabilitation, and reconstruction. Mitigation or risk reduction measures implement activities to reduce loss of life, livelihoods, and property by reducing vulnerability. Recognizing the benefits in lives and resources saved, OFDA provides PMP to reduce risks to vulnerable people and property posed by natural and human-caused hazards. PMP activities take many forms, including, but not limited to:

- Maintenance of regional disaster supply stockpiles;
- Training in disaster management;
- Technical assistance in national disaster planning for institutions, officials, and other individuals in disaster-prone countries;
- Support for USAID Missions in developing Mission Disaster Relief Plans; and
- Risk reduction and disaster management activities, including hazard early warning systems.

The purpose of this APS is to disseminate information to enable prospective applicants to decide whether to seek OFDA funding in support of the “Programmatic Learning for Prevention of, and Response to, Gender-Based Violence in Disaster Situations” disaster response program and, if so, to assist them in developing and submitting applications. OFDA assumes no liability for reimbursing potential applicants for any costs they incur in the preparation and submission of applications.

This APS: (1) provides contextually relevant background information; (2) describes the program aim, results, and types of activities for which concept papers and/or applications will be considered; (3) describes the level of funding available and the process and requirements for submitting concept papers and/or applications; (4) explains the criteria for evaluating and selecting concept papers and/or applications; and (5) refers prospective applicants to related documentation available on the Internet.

OFDA’s *Guidelines for Unsolicited Proposals and Reporting*, which is available at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants), stipulates that they do not apply to Annual Program Statements. However, many parts of those *Guidelines* are equally applicable regardless of whether OFDA solicits applications (such as through this APS) or an organization submits an unsolicited application. Thus, for the sake of brevity and in order to prevent unnecessary redundancies, parts of this APS may refer potential applicants to those *Guidelines* and/or may specify that it is an explicit exception to those *Guidelines*. In the event of any inconsistencies between this APS and those *Guidelines*, this APS shall prevail.

As of November 1, 2005, the preferred method of distribution of USAID APS’ and submission and receipt of concept papers and/or applications is electronically via <http://www.grants.gov> (“Grants.gov”), which provides a single source for USG-wide competitive grant opportunities. This APS and any future amendments or additions can be downloaded from that website. In order to use this method, an applicant must first register on-line with Grants.gov. If the applicant has difficulty registering or accessing the APS or related documents, the applicant should contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at [support@grants.gov](mailto:support@grants.gov) for technical assistance. It is the responsibility of the recipient of the APS and any related documentation to ensure that it has been received from Grants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes. It is important that interested organizations sign-up for e-mail updates with Grants.Gov so that as changes are posted to this and other USG (including USAID) solicitations, alerts will be received.

## **B. SPECIFIC PROGRAMMATIC GUIDANCE**

### **1. Background**

Among international donors, USAID/OFDA is at the forefront of the humanitarian community’s efforts to place greater emphasis on the protection of vulnerable populations across all levels of relief planning and implementation. Vulnerable populations—including women, children, widows, and elderly, disabled, LGBT, and displaced persons—often bear a heavy burden in natural disasters and complex emergencies, due to the loss of family and community support

structures that may compound the negative effects of social, political, and economic exclusion. Research indicates that levels of domestic and sexual violence increase in the aftermath of many natural disasters, and that gender-based violence is a pervasive problem in conflict settings—where vulnerable populations often face increased risks due to the presence of armed actors, as well as the generalized breakdown or failure of protective community and state institutions. In insecure environments, women and children, in particular, are at risk of violence, sexual exploitation and abuse.

At the same time, USAID/OFDA recognizes that vulnerable populations, including women and girls, and local communities have vital skills and knowledge to contribute to the design and implementation of protection activities; the meaningful participation of these groups in relief efforts is critical both for ensuring their ability to benefit equitably from humanitarian assistance and for laying a foundation for a more inclusive, successful recovery.

USAID/OFDA believes that protective actions, including prevention of and response to gender-based violence, should begin at the on-set of every emergency and that these activities should engage beneficiary populations, to the maximum extent possible, in the design, implementation, and ongoing assessment of protection programs that affect them. In response to recent disasters that have highlighted the need for continued learning in the field of gender-based violence prevention and response, USAID/OFDA is interested in supporting humanitarian assistance programs designed to address gender-based violence in situations of natural disaster and complex emergency; specifically, such programs should include an action learning and evaluation component designed to address critical gaps in knowledge or promote improved practice in the prevention of, or response to, gender-based violence in emergencies.

## **2. Program Scope and Objective(s) of this APS**

Applications submitted under this APS must address well-defined GBV problems in natural disaster or conflict settings and articulate clear linkages between identified problems, proposed activities, and expected impacts. Programs may address problems of gender-based violence impacting internally displaced persons, returnees, host communities, or other communities affected by disasters in a manner that respects the dignity of individuals and the cultures in which they live. Programs should focus on addressing GBV problems that have emerged or been exacerbated as a result of disaster or conflict, meaning that persons' vulnerability to GBV has increased or that the threat of GBV has changed or increased.

For the purposes of this APS, gender-based violence refers to any form of violence or abuse that targets individuals or groups on the basis of their sex and that results in physical, sexual or psychological harm to men, women, or children (defined as persons under the age of 18 years), although women and girls are often the primary victims. Unequal power relations between males and females significantly contribute to gender-based violence. In fact, gender-based violence is often intended to maintain gender inequalities or reinforce traditional gender roles for men, women, or children. Acts of violence and abuse may include rape and other forms of sexual violence, sexual abuse, sexual exploitation, domestic violence, and other forms of physical or psychological abuse.

Under this APS, all proposed activities must fall under the Protection Sector and the GBV subsector of OFDA's *Guidelines for Unsolicited Proposals and Reporting*. Applicants may, but are not required, to use the three GBV subsector indicators contained in the *Guidelines for Unsolicited Proposals and Reporting*; however, applications must identify appropriate impact indicators as part of the required monitoring and evaluation plan.

#### A. Funding Priorities

Applications must be responsive to each of the following elements (in no particular order):

**1) Target current, identified gender-based violence problems through innovative prevention or response activities, OR through improved methodologies for implementing or evaluating gender-based violence activities commonly employed in disaster settings.** Proposed activities may include, but are not limited to: 1) medical, psychosocial, legal, or economic support or services for GBV survivors; 2) public information or rights awareness campaigns including workshops and training programs; 3) measures to strengthen the capacity of local actors or institutions with responsibilities for preventing/responding to GBV; 4) approaches for mainstreaming GBV risk-reduction within other humanitarian response sectors; and 5) participatory methodologies for engaging beneficiary populations in the design and implementation of GBV programs. Applications should focus on activities or approaches that prioritize local capacity to prevent or respond to GBV. Target audiences may include men and boys as well as women and girls, community leaders, health and social service workers, public officials, or other relevant actors. In particular, USAID/OFDA is interested in supporting activities that target adolescent girls—a group that faces particular risks of GBV in disaster situations but that is under-served with respect to prevention and response activities.

**2) Address a critical gap in knowledge and/or practice related to the prevention of, or response to, gender-based violence in the context of emergencies.** Activities proposed under this APS should identify and be responsive to critical gaps, challenges, or opportunities in humanitarian response to gender-based violence. Initiatives should focus on piloting new, innovative activities which may be replicated or scaled up in the future; or on improvements to existing methodologies, processes, or approaches such as:

- efforts to adapt or bring to scale activities that have demonstrated success in other contexts;
- improved capacity to design, target, sequence, implement, or evaluate GBV activities.

USAID/OFDA especially encourages applications that focus on establishing more effective strategies for the prevention of GBV in initial phases of emergency.

**3) Incorporate a systematic, rigorous evaluation and learning component into the implementation design, which will support the broader humanitarian community in its efforts to prevent and respond to gender-based violence in emergencies.** Applications

should articulate and incorporate the necessary human and financial resources to systematically evaluate the impact of proposed activities, as well as a strategy for documenting and sharing project results, recommendations, and lessons learned with beneficiaries, USAID/OFDA, and the broader humanitarian assistance community. Applicants are encouraged to identify research or other partnerships that will facilitate this exercise. Additionally, USAID/OFDA encourages applicants to focus on a targeted, manageable study design and set of activities under this APS to adequately and rigorously evaluate the causal relationship between activities and impacts (i.e., attributable outcomes). Activities proposed under this APS may constitute a subset of or complement to a broader set of GBV activities being implemented by the applicant or humanitarian community. Applicants must describe a reasonable plan for disseminating programmatic learning within the proposed program. Applicants must be able to demonstrate beneficiary involvement and participation in appropriate evaluation activities.

## B. Geographic Scope and Country-Specific Guidance

Under this APS, USAID/OFDA will consider applications only for the following countries. Additionally, applications must conform to any country-specific parameters described in this section.

- Haiti: USAID/OFDA will consider applications addressing the needs of earthquake-affected populations.
- Yemen: USAID/OFDA will consider applications proposing activities in the governorates of Al Jawf, Sa'ada, Amran, Hajjah, or Sana'a.
- Democratic Republic of the Congo: USAID/OFDA will consider applications targeting conflict-affected areas in eastern DRC, specifically North Kivu Province or LRA-affected areas of Orientale Province.
- Central African Republic: USAID/OFDA will consider applications targeting LRA-affected areas of southeastern CAR, specifically Mbomou or Haut-Mbomou prefectures.
- Zimbabwe: USAID/OFDA will consider applications for any part of the country.

**No more than one application will be accepted from each applicant as a result of this APS, but applications may include up to two priority countries.**

## 3. Program Duration

The program duration is for up to 18 months from the date of award. OFDA plans to fund approved activities starting in the current fiscal year (10/1 – 9/30), but reserves the right to incrementally fund activities over the duration of the program, if necessary, depending on program length, performance against approved program indicators and availability of funds.

#### **4. Anticipated Funding Availability**

OFDA anticipates that up to approximately US\$ 1.2 million will be available to support the program(s) or activity(ies) described herein, although final funding levels will depend on content, quality, number of applications received, needs, availability of funding, and competing priorities.

While no ceiling has been established on the magnitude of individual applications, applicants are encouraged to keep costs reasonable in relation to the scope of their proposed activities.

#### **5. Anticipated Number of Awards**

OFDA expects to make up to two awards under this APS. Nevertheless, OFDA reserves the right to make a single award, multiple awards, to fund parts of applications, or not to make any awards at all. Issuance of this APS does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for any costs incurred in the preparation and submission of any application.

#### **6. Type of Award(s)/Substantial Involvement**

OFDA anticipates that a grant(s) will be awarded as a result of this APS. However, depending on the application(s) that is/are received and selected, OFDA may decide to be “substantially involved” in the implementation of the program, and therefore reserves the right to award a cooperative agreement(s) instead of a grant(s) accordingly. Cooperative agreements are identical to grants except that OFDA may be substantially involved in one or more of the following areas:

(a) OFDA approval of a recipient’s implementation plans (limited to not more frequently than annually);

(b) OFDA approval of specified key personnel (limited to 5 positions or 5% of a recipient’s total team size, whichever is greater);

(c) OFDA and recipient collaboration or joint participation which includes one or more of the following:

(i) Collaborative involvement in selection of advisory committee members (OFDA may also choose to become a member), if applicable;

(ii) OFDA concurrence on the selection of sub-award recipients and/or the substantive technical/programmatic provisions of sub-awards;

(iii) OFDA approval of a program monitoring and evaluation [M&E] plan (to the extent that such information is not included in the application);

(iv) OFDA monitoring to permit specified kinds of direction or redirection because of interrelationships with other projects; and

(d) OFDA authority to immediately halt a construction activity, if applicable.

## **7. Cost-Sharing (Matching)**

NGOs are not required to include counterpart funding. However, applications that include additional in-kind and/or cash contributions from non-USG sources will be more competitive, since cost-sharing demonstrates a strong commitment to the planned activities and will be rewarded under the “cost-effectiveness” evaluation criterion set forth in F.6 below. Cost-sharing will be subject to 22 CFR 226.23 and the standard provision entitled “Cost Sharing (Matching)” (U.S. NGOs) or the standard provision entitled “Cost-Sharing (Matching)” for non-U.S. NGOs (see G below).

## **8. Program Income**

If the successful applicant(s) is/are a non-profit organization, any program income generated under the award(s) will be added to OFDA funding (and any cost-sharing that may be provided) and used for program purposes. However, pursuant to 22 CFR 226.82, if the successful applicant is a for-profit organization, any program income generated under the award(s) will be deducted from the total program cost to determine the amount of OFDA funding. Program income will be subject to 22 CFR 226.24 (U.S. NGOs) or the standard provision entitled “Program Income” for non-U.S. NGOs (see G below).

## **9. Authorized Geographic Code**

USAID’s rules for the source, origin, and componentry of goods (other than “restricted goods,” as described in ADS 312 [<http://www.usaid.gov/policy/ads/300/312.pdf>]), and the nationality of suppliers of goods and services (other than delivery services, as described in ADS 314 [<http://www.usaid.gov/policy/ads/300/314.pdf>]), which are financed by USAID and procured by the recipient under the award(s) resulting from this APS, are set forth in 22 CFR 228 ([http://www.access.gpo.gov/nara/cfr/waisidx\\_08/22cfr228\\_08.html](http://www.access.gpo.gov/nara/cfr/waisidx_08/22cfr228_08.html)). These rules do not apply to procurement by the recipient with cost-sharing or program income funds. Except as authorized under USAID’s “Local Procurement” rules (see 22 CFR 228.40), the authorized geographic code (see 22 CFR 228.1) for the award(s) resulting from this APS is 935, subject to the recipient’s compliance with the order of preference and file documentation requirements set forth in paragraph (b)(1) of the standard provision entitled “USAID Eligibility Rules for Goods and Services” (see G below).



## **10. Title to Property**

Title to property financed by OFDA under the award(s) will vest in the recipient, and will be subject to 22 CFR 226.30-37 (U.S. NGOs) or the standard provision entitled “Title To and Use of Property (Recipient Title; Over \$50,000) for non-U.S. NGOs (see G below).

## **11. Post-Award Reporting**

### **(a) Programmatic Reporting**

Programmatic reporting will be in accordance with the OFDA *Guidelines for Unsolicited Proposals and Reporting* (see E.1 below). Quarterly program performance reports are required.

### **(b) Financial Reporting and Payment**

Financial reporting will depend on the payment provisions of the award, which cannot be determined until after the successful applicant(s) is/are selected. Advance payments will generally be made if the applicant’s systems, policies, and procedures meet USG and USAID requirements (see ADS 303.3.9). The recipient(s) will be required to have a U.S. bank account into which payments under the award will be made.

## **C. APPLICANT ELIGIBILITY**

OFDA will not accept applications from individuals. All applicants must be legally recognized organizational entities under applicable law. **All applicants must be currently registered in the Central Contractor Registration (CCR) database and must include the date of their CCR expiration.** For registration go to <https://www.bpn.gov/ccr/default.aspx>

The following types of organizations may apply for OFDA funding under this APS:

### **1. Non-Governmental Organizations (NGOs)**

#### **(a) Types and Nationalities of NGOs**

##### **(1) U.S. and Non-U.S. Non-Profit Organizations**

Qualified U.S. and non-U.S. private non-profit organizations may apply for OFDA funding under this APS. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

##### **(2) U.S. and Non-U.S. For-Profit Organizations**

Qualified U.S. and non-U.S. private for-profit organizations may apply for OFDA funding under this APS. Foreign government-owned parastatal organizations from countries that are ineligible

for assistance under the FAA or related appropriations acts are ineligible. Potential for-profit applicants should note that, pursuant to 22 CFR 226.81, the payment of fee/profit to the prime recipient under grants and cooperative agreements is prohibited. However, if a prime recipient has a (sub)-contract with a for-profit organization for the acquisition of goods or services (*i.e.*, if a buyer-seller relationship is created), fee/profit for the (sub)-contractor is authorized.

### **(3) U.S. and Non-U.S. Colleges and Universities**

Qualified U.S. and non-U.S. colleges and universities may apply for OFDA funding under this APS. USG and USAID regulations generally treat colleges and universities as NGOs, rather than governmental organizations; hence, both public and private colleges and universities are eligible. Non-U.S. colleges and universities in countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

### **(b) Registration as a Private Voluntary Organization (PVO)**

Pursuant to ADS E251.5.3.(a)6, applicants do not need to be registered with USAID as a PVO to be eligible for funding under this APS.

### **(c) “Responsibility” of Applicant**

In order for an award to be made, the Agreement Officer must make an affirmative determination that the applicant is “responsible,” as discussed in ADS 303.3.9. This means that the applicant must possess, or have the ability to obtain, the necessary management and technical competence to conduct the proposed program, and must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID.

The following criteria are used by USAID in determining an applicant’s “responsibility:”

- (1) Adequacy of Applicant’s Program Description, Budget, and Monitoring System.
- (2) Adequacy of the Applicant’s Financial Resources for Program Performance.
- (3) Applicant’s Ability to Meet Award Conditions:
  - (A) Compliance of Applicant’s Accounting and Overall Financial and Program Management Systems with 22 CFR 226.20-28.
  - (B) Compliance of Applicant’s System of Reports and Records with 22 CFR 226.50-53.
  - (C) Compliance of Applicant’s Internal Control Systems with Applicable USG Cost Principles.

- (i) Internal Controls.
- (ii) Personnel Policy is Reasonable under Applicable  
USG Cost Principles.
- (iii) Travel Policy is Reasonable under Applicable USG  
Cost Principles and the U.S. Department of State's *Standardized Regulations (Government  
Civilians, Foreign Areas)* (<http://aoprals.state.gov/>), and Complies with Fly America  
Requirements.
- (D) Compliance of Applicant's Property Management System  
with 22 CFR 226.30-37.
- (E) Compliance of Applicant's Sub-Award Administration and  
Monitoring System with OMB Circular A-133 (U.S. NGOs) or the USAID Inspector-General's  
*Guidelines for Financial Audits Contracted by Foreign Recipients*  
(<http://www.usaid.gov/policy/ads/500/591maa.pdf>) for non-U.S. NGOs.
- (F) Compliance of Applicant's Purchasing System/Contracting  
Procedures with 22 CFR 226.40-49.
- (G) Applicant's Absorptive Capacity Given Other Existing and  
Potential Work Commitments.
- (4) Satisfactory Record of Performance by Applicant.
- (5) Satisfactory Record of Business Integrity by Applicant.
- (6) Applicant is Otherwise Qualified to Receive an Award under  
Applicable Laws and Regulations (*e.g.*, Nondiscrimination, Lobbying, Debarment/Suspension,  
Terrorist Financing, etc.).

In the absence of an affirmative "responsibility" determination, an award can ordinarily not be made. However, in rare cases, an award can be made with "special award conditions" (*i.e.*, additional non-standard award requirements designed to minimize the risk presented to USAID of making an award to an NGO for which an affirmative determination of "responsibility" cannot be made), but only where it appears likely that the applicant can correct the deficiencies in a reasonable period.

#### **(d) New Partners**

Partners new to USAID and/or OFDA may submit applications. However, resultant awards to these organizations may be significantly delayed if OFDA must undertake necessary pre-award reviews of these organizations to determine their "responsibility" (see subparagraph [c] above). These organizations should take this into account and plan their implementation dates and activities accordingly.

## **2. Other USG Agencies**

USG departments and agencies may not apply for OFDA funding under this APS.

## **3. Public International Organizations (PIOs)**

PIOs may not apply for OFDA funding under this APS.

## **4. Foreign Governmental Organizations**

Foreign governmental organizations are organizations that function as a governing body, such as foreign ministries and local governments. Foreign governmental organizations may not apply for OFDA funding under this APS. Note: USAID policy makes foreign governmental organizations ineligible as sub-recipients under awards to NGOs unless special approval is provided. Even if special approval is provided, potential applicants must consider the impact of foreign governmental organizations' sovereignty on issues such as audits, cost disallowances, disputes, etc. (see <http://www.usaid.gov/policy/ads/300/updates/iu3-1.pdf>). In addition, USAID policies do not permit the payment of "salary supplements" to employees of a host government except in exceptional circumstances and with special approval. Additional guidance on salary supplements may be found at: <http://www.usaid.gov/policy/ads/200/119780.pdf>.

## **5. Code of Conduct**

As a condition for any award resulting from this APS, applicants must have adopted a code of conduct that addresses the protection of beneficiaries of assistance from sexual exploitation and abuse in humanitarian relief operations. Such code of conduct is described in the "Notices" section (page 1) of the *OFDA Guidelines for Unsolicited Proposals and Reporting*.

# **D. SELECTION PROCESS AND SCHEDULE**

## **1. Selection Process**

Applications will be evaluated in accordance with the criteria set forth in Section F below. After evaluation of the applications, either award(s) will be made, or, if deemed necessary or desirable by OFDA, written and/or verbal discussions/negotiations will be conducted with applicants that submit the most highly rated applications. After the conclusion of any such discussions/negotiations, such applicants will, unless otherwise advised, be required to submit a revised application, which will be re-evaluated against the criteria set forth in Section F below. Ordinarily, award(s) will be made after the first round of any such discussions/negotiations and revised applications; however, OFDA reserves the right to conduct subsequent rounds of discussions/negotiations and revised

applications, and to limit the number of applicants with whom such subsequent discussions/negotiations would be conducted and revised applications requested.

## **2. Schedule**

This APS is open for six months from the date of issuance, although OFDA plans to review applications in batches. Applications received no later than **5:00 p.m. Eastern Time (ET) on April 15, 2011** will be included in the first batch of applications for review.

Questions concerning the first batch of applications under this APS must be received no later than March 14, 2011. Following this date, the questions received by that date, if any, (without attribution to the organization), and answers will be posted as an amendment to this APS if necessary in submitting applications or if the lack of such information would be prejudicial to any other prospective applicant. Questions must be in writing and should be e-mailed to OFDA\_APS@ofda.gov. Oral explanations or instructions given before award(s) is/are made will not be binding.

This APS may be amended either to establish subsequent deadlines or to indicate that an award(s) has/have been made and that no further funding is available. If an award(s) results from the first batch of reviewed applications, the award date is anticipated to be June 3, 2011. Late applications will only be considered under subsequent batches of applications, if any.

## **E. GENERAL GUIDANCE**

### **1. OFDA *Guidelines for Unsolicited Proposals and Reporting***

Except as may be stated otherwise in this APS, applicants must submit their applications in compliance with the OFDA *Guidelines for Unsolicited Proposals and Reporting*. Applications that do not adhere to those *Guidelines* will not be considered for funding, including the required supporting documentation, such as the safety and security plan. OFDA's *Guidelines for Unsolicited Proposals and Reporting* are available at:

[http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants).

In the event of any inconsistencies between this APS and those *Guidelines*, this APS shall prevail. Applicants are also encouraged to review *Results-Oriented Assistance: A USAID Sourcebook* (<http://www.usaid.gov/pubs/sourcebook/usgov/>), which may also prove helpful in preparing applications.

### **2. Content of Applications**

Under this APS, all proposed activities must fall under the Protection sector(s) and the GBV subsector(s), as described in those *Guidelines*. Applicants are requested to state in their applications: (1) the estimated cost per beneficiary; and (2) the percentage of the total affected population (by administrative unit or site) to be served under any resulting award. Applicants must demonstrate an understanding of and plan for addressing specific gender issues (challenges or opportunities) that impact identified GBV issues and proposed program activities.

It is recognized that, in some programs, identification of specific teaming partners and sub-recipients cannot occur until after award and, hence, specific delineation of responsibilities and costs cannot be provided in the application. Nevertheless, such information is, in fact, often known at the time the application is being prepared. In order to reduce the post-award administrative burden of obtaining post-award approval for such sub-awards, and thereby, facilitate program implementation and the achievement of results in the timeframe of the award(s), applicants are strongly encouraged to identify such teaming arrangements and sub-recipients in the technical/programmatic and cost/budget/management sections of their concept paper and/or application, if any, to the maximum practicable extent. When such organizations are identified, Letters of Intent, Letters of Agreement, or Memoranda of Understanding should be included in the application.

All applications should contain a strong analysis of the potential impact of the program on communities, and applicants should demonstrate a willingness to work directly with relevant local government offices, community leaders, and practitioners within the local communities. Community participation in developing the activities presented in the application should be demonstrated. Should applicants include implementing partners for any of the proposed activities, they will need to demonstrate that their proposed activities have been discussed with and agreed to by those implementing partners, and that adequate consultation has taken place to avoid duplication of efforts. Programs are encouraged to promote interaction and cooperation across a range of stakeholders and partners, including governmental agencies, non-governmental organizations, community groups, etc.

OFDA encourages international NGOs to support, mentor, partner, and collaborate with local organizations. OFDA will consider funding activities that improve local organizations' capacity to achieve the technical objective. It is the responsibility of applicants to ensure that local partners do not appear on the Excluded Parties List (which includes the U.S. Department of Treasury's Office of Foreign Assets Control "*Specially Designated Nationals and Blocked Persons List*"), which can be found at: <http://www.epls.gov>. Applicants working through local partners must ensure that local organizations have the capacity to carry-out expanded programs, and should consider a capacity-building component which will leave a lasting impact on local organizations.

Applications must be submitted in English. Documentation in other languages may be included as long as there is an English translation. Applications should use Word 2000 or newer and/or Excel 2000 or newer. The signed certifications and representations (see Section V.H of the *OFDA Guidelines for Unsolicited Proposals and Reporting*) are required at the time of submission of an application and may be provided in PDF format. Applications submitted without the required signed documentation will not be considered.

### **3. Place and Means of Submission**

Applications may be submitted via Grants.gov or electronically to: OFDA\_APS@ofda.gov. Copies in .zip format may not be submitted since they are automatically quarantined by USAID's computer security system.

### **4. Communications with OFDA**

As an exception to the OFDA Guidelines for Unsolicited Proposals and Reporting, potential applicants may not have contact with OFDA except as described in Section D.2 above.

## **5. USAID Disability Policy and Accessibility Standards**

The applicant's attention is directed to Section VI.A of the OFDA *Guidelines for Unsolicited Proposals and Reporting*. These policies have implications for both the program design and program budget.

## **6. Voluntary Survey on Faith-Based and Community Organizations**

The applicant is encouraged, but is not required, to submit USAID's Voluntary Survey on Faith-Based and Community Organizations, as described in Section VI.C of the OFDA *Guidelines for Unsolicited Proposals and Reporting*.

## **7. Branding Strategy and Marking Plan (BS/MP)**

NGO and foreign governmental organization (but not PIO) applicants are required to comply with 22 CFR 226.91 (see G below) and USAID Acquisition and Assistance Policy Directive (AAPD) 05-11 ([http://www.usaid.gov/business/business\\_opportunities/cib/pdf/aapd05\\_11.pdf](http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf)). If concept papers are required under this APS, a BS/MP need not be included with the concept paper. As an exception to Section V.G of the OFDA *Guidelines for Unsolicited Proposals and Reporting*, applicants are encouraged, but are not required, to submit their BS/MP with their applications. Applicants who choose not to include their BS/MP with their application will not be penalized during the evaluation process, but should be aware that, if the applicant is the/an apparently successful applicant, the applicant will be required to submit an acceptable BS/MP as a prerequisite for any resulting award. This would delay any such award, pending receipt and review of the applicant's BS/MP. Moreover, because USAID's branding and marking requirements have cost implications, such costs should be included in the application budget even if the applicant does not submit its BS/MP with the application.

## **8. Ineligible Goods and Services, Ineligible Suppliers, and Restricted Goods**

The applicant's attention is directed to Section V.F of the OFDA *Guidelines for Unsolicited Proposals*, as well as ADS 313 (<http://www.usaid.gov/policy/ads/300/313.pdf>). These rules and requirements may affect the program design, budget, timing of award, and/or timely program implementation and post-award administration.

## **F. EVALUATION CRITERIA**

Applications will be reviewed jointly by OFDA/Washington and OFDA field staff in accordance with the following evaluation criteria. Other USAID staff, USG agencies, USAID/OFDA consultants, and other partners may also be invited to review applications on a case-by-case basis provided that such participation does not create a conflict of interest, and further provided that information contained in the application shall be used only for evaluation purposes and shall not be

disclosed outside OFDA. Award(s) will be made to organization(s) whose application(s) offer the best value to USAID.

The evaluation criteria and their respective weight (out of a total of 100 points) are:

1) Justification for Proposed Intervention – 22 points

The applications will be evaluated based on the justification provided for the proposed program in terms of:

- Identification and analysis of a critical gap, challenge, or opportunity related to GBV prevention and response in the context of emergencies AND a description of how the proposed program will contribute to improved knowledge or practice in this area.
- The extent to which proposed activities target current, well-defined GBV problems and needs (threats or vulnerabilities) that have emerged or been exacerbated by a disaster or conflict situation.
- Identified need(s) based on assessments or surveys employing sound methodology, and the appropriateness of proposed activities for meeting those needs.
- Evidence of consultation with targeted communities and beneficiary population[s] prior to submission of the application and incorporation of their priorities, needs, and concerns into the application.
- The applicant's description of a realistic and appropriate study design, data collection methods, and historical, contextual, and/or baseline data (qualitative and/or quantitative) that will facilitate effective comparison of actual and expected program results and the causal relationship between activities and impacts of the proposed intervention.

2) Program Description – 42 points

The application shall be evaluated from a technical perspective in terms of:

- The application provides sufficient detail to support a concrete understanding of methods to be employed and to make a determination of technical appropriateness, including the applicant's consideration of the basic level of services available to GBV survivors in the operational area of the proposed program.
- The articulation of clear linkages between identified GBV problems, proposed activities, and expected impacts, including a description of the key evidence, theories of change, or assumptions underpinning the program design.
- The extent to which the application demonstrates an understanding of and plan for addressing specific gender issues (challenges or opportunities) that impact identified GBV problems and proposed program activities.



- Level of accountability to beneficiaries in terms of information sharing, meaningful participation, promoting community ownership, complaints handling, and mechanisms to incorporate community feedback in real time.
- The strength and realism of the proposed monitoring plan and evaluation study design with respect to: 1) tracking program implementation; 2) measuring program results AND impact; 3) supporting programmatic learning; and 4) incorporating beneficiary perspectives in the evaluation plan.
- Inclusion of a reasonable plan for capturing and disseminating program learning to the broader humanitarian community, including a description of expected program deliverables (reports, toolkits, lessons learned, etc.).
- Identification of internal or external resources—such as research or other partnerships—that will support the achievement of program objectives, including the evaluation and learning components of the proposed program.
- Level of innovation evidenced in the program design and/or plans for implementation, evaluation, and dissemination of program learning.
- The applicant’s plan for program phase-out or hand-over to host governments institutions, local partners, or beneficiaries (including communication with beneficiaries) OR, if appropriate, the applicant’s plan for how resources might be obtained to continue the activity (e.g., cost-recovery mechanisms, discussions with development partners, etc.).

### 3) Institutional Capability and Past Performance – 12 points

Applicants will also be evaluated based on their institutional capability and past performance, specifically:

- The applicant’s capability and competence in the activities being proposed, as demonstrated by relevant experience and technical expertise in previous GBV programming.
- The capability and competence of the applicant or sub-contractor/consultant in the evaluation study design, methodology, and analysis proposed, as demonstrated by relevant experience and technical expertise in similar rigorous evaluations.
- Demonstrated results in supporting or partnering with local organizations or community-based groups in the target country or region.
- Contextual knowledge of the country of the proposed intervention, including political, economic, cultural, social, and institutional norms.
- Past performance record, including relationships with U.S. and host government authorities and target populations (see Section VI.D.3 of the OFDA *Guidelines for Unsolicited Proposals and Reporting*).

### 5) Coordination – 12 points

Applications will be reviewed in terms of the described level of coordination, specifically:

- An overview of how the proposed activities will complement other planned or ongoing GBV initiatives (both those of the applicant and those of other partners/donors) in the country of operation.
- Demonstrated adherence to processes, guidelines/standards and policies established by appropriate host government institutions and/or international agencies.
- Description of how program learning will be shared within existing international coordination.

6) Cost – 12 points

- Cost-effectiveness: percentage of the overall budget which is directly linked to assistance to beneficiaries and program learning.
- Cost-realism: costs are consistent with likelihood that the program can be accomplished within the stated budget.

**G. AWARD ADMINISTRATION AND RELEVANT WEBSITES FOR REFERENCE**

**1. U.S. Non-Governmental Organizations**

Awards to U.S. NGOs resulting from this APS will be administered in accordance with the following:

- Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at <http://www.usaid.gov/policy/ads/300/303.pdf>.
- 22 CFR 226 which is available at [http://www.access.gpo.gov/nara/cfr/waisidx\\_03/22cfr226\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html).
- 2 CFR 220 for universities (formerly OMB Circular A-21); or
- 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122); and
- OMB Circular A-133 for both universities and non-profit organizations, all of which are available at <http://www.whitehouse.gov/omb/circulars/index.html>.
- 48 CFR 31.2 for for-profit organizations, which is available at <http://www.arnet.gov/far/>.
- USAID Standard Provisions for U.S. Non-Governmental Organizations, which are available at: <http://www.usaid.gov/pubs/ads/300/303maa.pdf>.

**2. Non-U.S. Non-Governmental Organizations**

Awards to non-U.S. NGOs resulting from this APS will be administered in accordance with the following:

- Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at <http://www.usaid.gov/policy/ads/300/303.pdf>.
- 2 CFR 220 for universities (formerly OMB Circular A-21); or
- 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122), both of which are available at <http://www.whitehouse.gov/omb/circulars/index.html>.
- 48 CFR 31.2 for for-profit organizations, which is available at <http://www.arnet.gov/far/>.
- USAID Standard Provisions for Non-U.S. Nongovernmental Organizations, which are available at: <http://www.usaid.gov/policy/ads/300/303mab.pdf>.
- 22 CFR 226 which is available at [http://www.access.gpo.gov/nara/cfr/waisidx\\_03/22cfr226\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html). Note that, while 22 CFR 226 does not directly apply to non-U.S. NGOs, USAID policy is to apply this regulation to non-U.S. NGOs to the extent practicable.